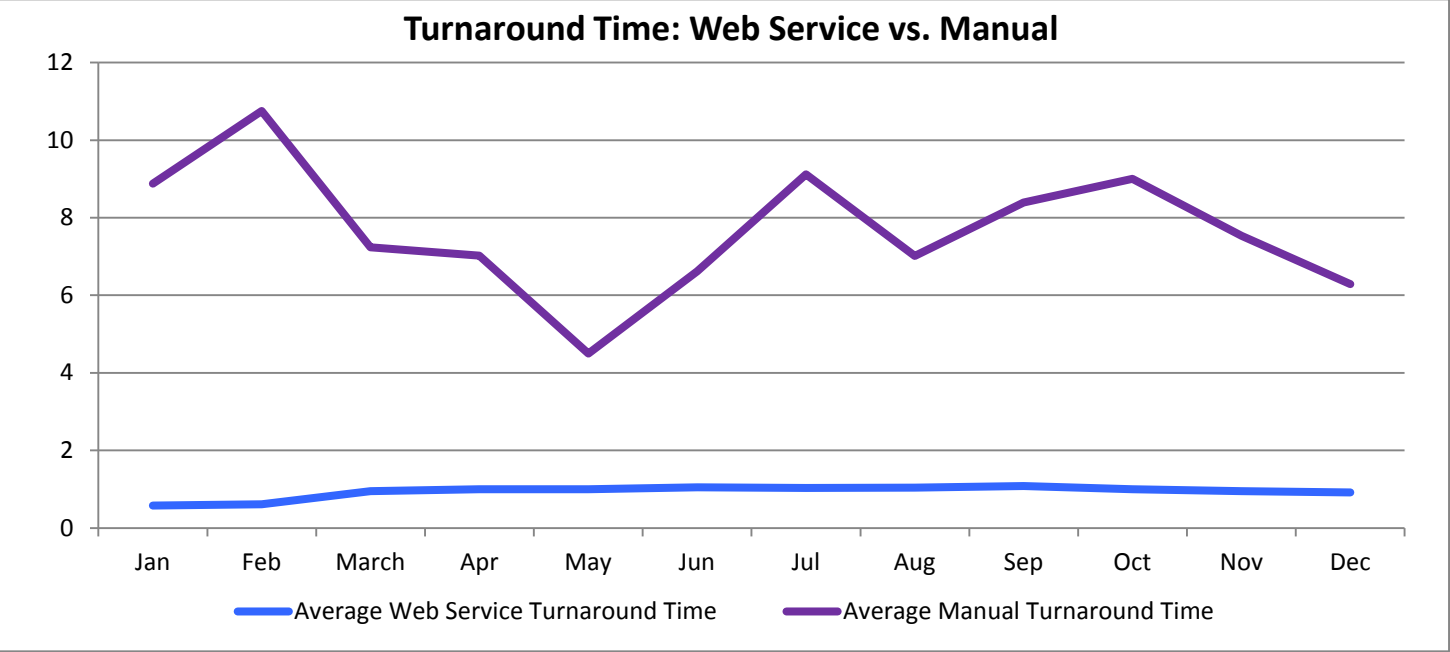


Clarify the Problem

Delays in the background check process create a negative impact to the agency’s ability to license, hire, and approve client service providers in a timely manner.

- Delays in the background check process are caused by:
- Web service versus manual procedures.
 - The need for manual intervention by the Background Central Check Unit (BCCU) Staff on some requests.
 - When staff are absent from work, non-proficient, or unable to carry out their daily responsibilities because of system outages, or external database connectivity issues.

Break Down the Problem



- Web Service (WS) turnaround times are not impacted by staff absences and availability.
- Regular turnaround times fluctuate because of staff availability, staff, absences, and the need to shift workloads.
- Manual processes are unstable and often require staff to work overtime to keep turnaround times down.
- Regular turnaround times vary due to fluctuations in number of incoming forms each day.
- Regular turnaround times are influenced by the number of proficient staff versus non-proficient staff because of the quality assurance required on non-proficient staff work.
- On average it takes six to nine months for individuals to become proficient in the background check process.

Target Setting

- Increase the number of Name and Date of Birth-based background checks that are automatically completed through the online system from 17 percent to 45 percent. Target to be measured 6 months following system implementation. Target Date: TBD
- Increase the number of Fingerprint and Name and Date of Birth Background Checks completed by the new online system from 30 percent to 100 percent immediately following implementation (use of the online system will be mandatory for all entities who submit background checks to BCCU).
- Develop new performance measures based on reduced background check processing times 90 days following the project stabilization period.
 - During this quarter DSHS determined that the commercial Off the Shelf system required significant custom modifications to meet the various program business needs. Because of this, the Department is creating business models, identifying areas for process improvement, and developing a plan to complete the system design before continuing with development and testing. Target completion is March 2015.

Identify Root Cause

People	Equipment	System	Policy/Procedure/RCW/WAC	Environment
BCCU staff assisting customers	Aging Computers and computer systems	Inability to look up which faxes have been received but not processed yet.	Entity staff lack of knowledge of their own procedures.	Holidays
Duplicate background check requests from entities	IT systems that are no longer supported by MS or compatible with MS products	Complex data entry and processing procedures	Constant changes in state/federal laws and internal program policies	Seasonal fluctuations in requests for Background Checks
Illegible hand written forms and inconsistent applicant information provided	Not utilizing current technology	WS entries don't follow the same standards that BCCU staff are held to for data entry	BCCU staff don't have a good understanding of the entity's policies and procedures	Entities able to submit requests 24/7. BCCU being open M-F 8-5
Decreases in BCCU staff morale because of proficiency requirements	Facsys and limitations on the number of faxes that can be sent and received at the same time	Additional research is required when information is unclear on the Authorization Form, RAP sheets, and/or applicant self disclosures	Some policies and procedures are unclear for both BCCU staff and entities (program staff)	Fluctuations in incoming requests caused by audits
Internal staff promotions and turnover creating holes in procedures	Fax connections within the entities	System outages between internal and external data sources	Non-Standard procedures and policies across programs	
IT staff coordination and communications	Printing letters and envelopes in batches	System complexities dictate need for extensive training and QA of staff work to ensure accuracy.	Internal IT policies limit resources, communication, and issue resolution	
Unplanned staff absences and the inability to adequately cover all unit responsibilities		Required to process two types of prints – Electronic vs. Manual but no set up to track reports based on one or the other	QA processes and proficiency requirements	
BCCU Staff Training inconsistencies related to Processing procedures		Complexities of the process set up – Imaging, Fax sorting, etc.	Training processes and documentation	

* Note: Colored shading categorizes the Root Causes related to the Counter Measures listed below

Identify Countermeasures * All Countermeasures tied to Implementation of New Background Check System

Root Cause	Proposed Countermeasure	Feasibility	Cost	Risk	Impact
Illegible hand written forms and inconsistent applicant information provided	Eliminate data entry for BCCU staff and provide applicants with a tool to enter personal information online.	High	High	Medium	High
Fax and system connections with entities	Online system that returns results electronically rather than relying on fax machine connections.	High	High	Medium	High
Aging computers and computer systems, and lack of IT and MS support for older systems.	Purchase an Off the Shelf product to replace the aging Criminal History System. One that uses current technology and supports communication with other upgraded MS systems.	High	High	High	High
Non-Standard procedures and policies across programs and the complexity of system processes	Implementation of an electronic system will make procedures more transparent and consistent for all programs and BCCU.	Medium	High	Low	Medium

Action Plan

ID#	Problem to be solved	Action Item	Lead	Team	Due Date	Status
1	Replace the aging Criminal History System	Decide to build an in-house system or purchase an Off The Shelf system to provide Web Service Capabilities	Exec. Steering Comm.	BCCU/ISSD	Sep. 2012	100%
2	Find out what other states are doing	Research other states and Visit Michigan to see their system in action	BCCU	BCCU/ISSD	Dec. 2012	100%
3	Develop an RFQQ	Define business needs and system requirements	ISSD	BCCU/ISSD	Mar. 2013	100%
4	Contract with a vendor	Collaborate with successful bidder, Yale New Haven Health System (YNH)	ISSD	BCCU/ISSD	May 2013	100%
5	Replace existing system	Implement and release new program to customers for final use	ISSD	BCCU/ISSD	TBD*	16%

*See update to Target Section of A3.

Evaluate Results, Standardize, then Repeat